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ABSTRACT

This Critical Issue Bibliography (CRIB) sheet focuses on performance indicators in higher education. Performance indicators are concrete pieces of information about a condition or result of public action that is regularly produced, publicly reported, and systematically used for planning, monitoring, or resource allocation. The resources in this annotated bibliography have been divided into these categories: (1) general resources; (2) international examples; (3) state practice and policy; (4) institutional practice and policy; and (5) critiquing. The bibliography lists 23 resources, all of which are in the ERIC database. (SLD)

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Critical Issue Bibliography (CRIB) Sheet:

Performance Indicators

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What is an ERIC CRIB Sheet?

A Critical Issue Bibliography (CRIB) sheet is a selected bibliography on a topic of interest in the field of higher education. The majority of the literature cited in the bibliography is found in the ERIC Database, though some CRIB sheets also include other literature, such as selected Internet resources. CRIB sheets are updated annually.

Many of the issues discussed in one bibligraphy relate to another CRIB sheet topic. For example, the CRIB sheet on affirmative action is closely related to the CRIB sheet on creating a multicultural climate on campus. We have tried to note such connections in the bibliographies themselves; we encourage you not to see CRIB sheet topics as discrete and to explore several bibliographies on related topics.

This CRIB sheet was updated in December 2001.

Critical Issue Bibliography (CRIB) Sheet:
Performance Indicators

Calls for accountability in higher education have resulted in various quality control measures: assessment (see http://www.eriche.org/crib/assessment.html); post-tenure review (see http://www.eriche.org/crib/tenure.html); and performance indicators. They also represent a concern with institutions quantifying or providing evidence that they are meeting their missions and goals. Performance indicators are "a concrete piece of information about a condition or result of public action that is regularly produced, publicly reported, and systematically used for planning, monitoring, or resource allocation at the state or system level" (Gaither, Nedweck, and Neal, 1994). Performance indicators are often used in conjunction with terms such as "effectiveness," "efficiency," "inputs," "process," "outputs," "excellence," "quality," and "accountability."

Institutional funding is also becoming more dependent upon performance indicators. Until recently, most states allocated funding based on a formula independent of any performance criteria. However, there is a growing trend to allocate state funds according to performance indicators. The United Kingdom, Australia, Germany, the Netherlands, and several additional European countries were first to utilize performance indicators systematically to allocate funding. Since they have large national systems, it was easy to institute such a policy and practice. Performance indicators have gained particular support among various state level funders in the United States over the last ten years. Certain states such as Virginia, Tennessee, and Washington have been able to refine their processes, serving as a model for other states interested in changing from formula funding to performance based funding. Several organizations have also played a critical role in shaping the use of performance indicators; please visit their Web sites to learn more: 1) National Association of College and University Business Officers (http://www.nacubo.org/) - National benchmarking project; 2) National Center for Higher Education Management Systems (http://www.nchems.org/) - indicators of good practices project; and, 3) Education Commission of the States (http://www.ecs.org/).

The resources below have been divided into five categories: 1) general resources; 2) international examples; 3) state practice and policy; 4) institutional practice and policy; and 5) critiquing.

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General Resources

ED452872
McGregor, Felicity. (2000). *Performance measures, benchmarking and value.*
This paper discusses performance measurement in university libraries, based on examples from the University of Wollongong in Australia.

EJ564124
Layzell, Daniel T. (1998, March). Linking performance to funding outcomes for public institutions of higher education: The US experience. *European Journal of Education, 33,* 1, 103-11.
Discusses funding for public colleges and universities in the US, looking at different mechanisms for measuring institutional performance, recent experiences with performance indicators for purposes of funding and the limitations of their use, the current status of performance based funding in public colleges, and implications of their continued use.

EJ501632
Nettles, Michael T. (1995, Spring). The emerging national policy agenda on higher education assessment: A wake-up call. *Review of Higher Education, 18,* 3, 293-313.
The current crisis in American education is examined as reflected in student performance assessments at all levels. The role of performance indicators in shaping public opinion is also discussed. Development of national educational goals, the resulting assessment dilemma for higher education, and methods of assessing progress are also explored.

ED415782
Cave, Martin, Hanney, Stephen, Henkel, Mary, & Kogan, Maurice. (1997). *The use of performance indicators in higher education: The challenge of the quality movement.* [3rd edition. Higher Education Policy Series 34]. Bristol, PA: Jessica Kingsley Publishers.
This book gives an updated account of the present use and status of performance indicators in British higher education a decade after their controversial introduction into higher education.

ED383279
Gaither, Gearald, & Others. (1994). *Measuring up: The promises and pitfalls of performance indicators in higher education.* ASHE-ERIC Higher Education Report No.5. Washington, DC: ERIC Clearinghouse on Higher Education.
This report examines the development and implementation of performance indicators in higher education, focusing on the factors driving increased demand for accountability in higher education. It discusses the public and political concern for increased productivity, accountability, and quality assessment at colleges in light of educational retrenchment and budgetary restrictions.

International Examples

ED446524
(2000). *Performance Indicators in Higher Education in the UK, 1997-98, 1998-99 Report.*

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This is the second publication in an annual series providing performance indicators relating to higher education in the United Kingdom. The report is based on data from the academic years 1997-98 and 1998-99. The indicators are provided for the 169 publicly funded institutions of higher education in the UK and are presented in seven tables.

EJ575684
Adam, Anthony J., & Morrison, Malcolm. (1998, Fall). Quality assurance in higher education: A selective resource guide. *New Directions for Institutional Research, 25,* 3, 93-102.
An annotated bibliography on quality assurance in higher education around the world.

EJ505364
Jongbloed, Ben W. A., & Westerheijden, Don F. (1994, Summer). Performance indicators and quality assessment in European higher education. *New Directions for Institutional Research, 82,* 37-50.
Examination of the history of use of performance indicators in three European national higher education systems suggests that their role at the national level is declining at the same time that institutions are moving toward more broad-based quality assessment strategies.

ED331355
Kells, H.R. (1990). *The development of performance indicators for higher education: A compendium for eleven countries.* Programme on institutional management in higher education.
The report examines the development and implementation of performance indicators at institutions of higher education through presentation of position statements on 11 countries. The author concludes that there has been a huge development in performance indicators, that this development reflects the importance of national and cultural settings, and that the political agendas of governments figure strongly in performance indicator development.

ED334951
Cave, Martin, & Others. (1991). *The use of performance indicators in higher education: A critical analysis of developing practice.* (2nd edition). England, United Kingdom: Higher Education Policy Series, 2.
This book is an updated account of the present use and status of performance indicators in British higher education. It is set against the developing literature and experience related to performance indicators in the US and other countries and explores performance indicators in light of the major shifts in higher education policy occurring in recent years.

State Practice and Policy - Experiences and Best Practices.

EJ516325
Ruppert, Sandra S. (1995, Fall). Roots and realities of state-level performance systems. *New Directions for Higher Education, 91,* 11-23.
This examines the state policy implications of using higher education performance

indicators for accountability purposes based on the experiences of 10 case study states and others that have initiated such efforts. Specific issues that must be addressed are identified.

ED402855
Corrallo, Sal. (1995, December). *The national assessment of college student learning: An inventory of state-level assessment activities.* A Research and Development Report of the Proceedings of the Study Design Workshop, Arlington, VA.
This report summarizes proceedings and conclusions of a two-day national planning workshop to further the assessment of national postsecondary outcomes, and to determine how the National Center for Educational Statistics (NCES) and the states might work more effectively to develop mutually-supportive postsecondary assessment activities and policies.

ED375789
Ruppert, Sandra S. (1994). *Charting higher education accountability: A sourcebook on state-level performance indicators.* Denver, CO: Education Commission of the States.
This report is intended to contribute to the debates currently engaging public officials and institutions of higher education over the issue of reporting performance. To gain a better understanding of how performance indicators can contribute to state policy and improve higher education accountability, this project traced the experiences of 10 states that have instituted accountability programs based on performance indicators.

ED419447
California State Postsecondary Education Commission. (1998, April). *Performance indicators of California higher education, 1997.* Sacramento, CA: California State Postsecondary Education Commission.
This fourth annual report presents background information on the development of performance indicators for California higher education, describes the scope of the current set of indicators, identifies recent trends, delineates some recent developments and future plans, and includes some data on the full set of 75 performance indicators.

Institutional Practice and Policy

ED443319
Huynh, Cam-Loi, & Hladkyj, Steve. (2000). *Opinions of administrators and faculty on the purpose, control and process of performance indicators in higher education: A pilot study.*
This study investigated the opinions of college faculty and administrators regarding the purpose, control, and process of performance evaluation, hypothesizing that job orientations and expectations would influence their opinions—that administrators would favor an economic model emphasizing authoritative and quantitative measures; teachers would favor an information model emphasizing networking relationships; and researchers would favor a hybrid approach.

EJ575677
Bogue, E. Grady. (1998, Fall). Quality assurance in higher education: The evolution of systems and design ideals. *New Directions for Institutional Research, 25,* 3, 7-18.
Discusses the quality of assurance in colleges and universities, and looks at theories and definitions of quality.

ED428620
Tierney, William G. (1999). *Building the responsive campus: Creating high performance colleges and universities.* Thousand Oaks, CA: Sage Publications.

ED403828
Ewell, Peter T, & Jones, Dennis P. (1996). *Indicators of "good practice" in undergraduate education: A handbook for development and implementation.* Boulder, CO: National Center for Higher Education.
This handbook is designed to provide universities with initial guidance in establishing an appropriate system of indicators of undergraduate instruction, and to build on that foundation by cataloging a range of exemplary indicators of "good practice" that have been proven useful.

ED375790
Epper, Rhonda Martin. (1994). *Focus on the budget: Rethinking current practice. State policy and college learning.* Denver, CO: Education Commission of the States.
The four papers presented here were chosen for presentation in 1993 at the annual meeting of the State Higher Education Finance Officers. Their contents range from outlining the principles for moving from an accounting driven funding model to a value-driven higher education funding model, to presenting five policy tools used by the University of Wisconsin system to combine budget and academic planning to improve instructional quality.

Critiquing

ED451781
Creech, Joseph D. (2000). *Linking higher education performance indicators to goals.* Educational Benchmarks 2000 Series.
This report tells what has been learned about reporting on higher education performance in the last 10 years and describes the kinds of information being used to inform policymakers and the public about higher education in the member states of the Southern Regional Education Board.

ED393365
Smart, John C. (1996). *Higher education: handbook of theory and research.* [Volume XI]. New York, NY: Agathon Press.
This volume contains 10 papers on higher education theory and research. Included among these papers is, "The Use and Misuse of Performance Indicators in Higher Education," which explores the development and use of performance indicators, compares alternative designs, and analyzes policy and research implications.

EJ418471
Kells, H. R. (1990).The inadequacy of performance indicators for higher education—The need for a more comprehensive and development construct. *Higher Education Management, 2,* 3, 258-70.
The proposed use of performance indicators for evaluating higher education institutions in a number of countries is critically analyzed, particularly regarding their use for institutional and program rankings and comparisons. A more developmental system retaining positive aspects of performance indicators and encouraging program improvement is recommended.

EJ453105
Linke, Russel D. (1992, July). Some principles for application of performance indicators in higher education. *Higher Education Management, 4,* 2, 194-203.
Australia's recent experience with performance indicators for evaluation and funding of higher education institutions suggests principles concerning selecting appropriate, relevant, and reliable indicators; providing incentives for good performance; and limiting funding adjustment to give opportunity for improvement.

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